

Exhibit 300: Capital Asset Summary

Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview & Summary Information

Date Investment First Submitted: 2009-06-30
Date of Last Change to Activities: 2012-07-31
Investment Auto Submission Date: 2012-02-29
Date of Last Investment Detail Update: 2012-02-24
Date of Last Exhibit 300A Update: 2012-08-23
Date of Last Revision: 2012-08-23

Agency: 024 - Department of Homeland Security **Bureau:** 30 - Citizenship and Immigration Services

Investment Part Code: 01

Investment Category: 00 - Agency Investments

1. Name of this Investment: USCIS - Naturalization - CLAIMS 4

2. Unique Investment Identifier (Ull): 024-000003038

Section B: Investment Detail

- 1. Provide a brief summary of the investment, including a brief description of the related benefit to the mission delivery and management support areas, and the primary beneficiary(ies) of the investment. Include an explanation of any dependencies between this investment and other investments.**

CLAIMS4 (C4) is the primary case processing system for the adjudication of Applications for Naturalization (N-400, N600, N600K & N336 forms). Originally deployed from 1995 to 2000, C4 is operational at 98 locations nationwide (four Service Centers, the National Benefits Center, 92 Field Offices, & Headquarters) and offers a standardized automated process for adjudicating applications. C4 system is designed to meet the USCIS vision and mission to provide: 1) Customer-focused benefits processing. 2) Credible source of useful information and contributor to the US security. 3) Accurate and useful information to our customers. 4) Granting immigration and citizenship benefits. 5) Ensuring the integrity of our immigration system. C4 continue to be one of the primary multi-tier client/server workflow mgmt systems designed to strengthen America's future and secure America's promise by providing: 1) Primary case processing for the adjudication of N400, N600, N600K, & N336, which provides extended benefits for individual to document U.S. citizenship status. 2) Support the adjudication of each application & record the results which supports USCIS mission as a credible source. 3) Provide case status to applicants to avoid any fraud and to ensure the integrity of our system. 4) Support high-volume processing of naturalization applications at the Lockbox facility to supports the USCIS vision of customer-focus. 5) Capture fee information from the Lockbox for financial record control. 6) Provide accountability to USCIS fees and funds by utilizing Lockbox. 7) Provide automated scheduling for fingerprints, interviews, and

oath ceremonies to reduce the processing time and provide accountability/traceability. 8) Provide applicant data inputs to Biometrics System. 9) Provide regular applicant status updates to CRIS system to support USCIS vision of customer-focus and providing accurate information. Per DHS vision, the legacy forms N-336, N600 & N-600K applications were deployed in Oct 2011. CCA, NTA & Overseas biometric fee will be incorporated by the end of third quarter 2012. N-470 & N-565 applications are planned to be deployed by the 4th Qtr FY2012. N-648 is planned to be integrated by 3rd Qtr FY2013. Oracle 11g R2 upgrade was completed by 1st Qtr FY2011. Security audit logging is tentative for 3rd Qtr FY2012. The NCAR (Full capability) is tentatively planned for FY2013. In the 3rd Qtr of FY2012, C4 will be migrating to DC1.

2. How does this investment close in part or in whole any identified performance gap in support of the mission delivery and management support areas? Include an assessment of the program impact if this investment isn't fully funded.

The primary objective of the CLAIMS 4 program is to process N400, N600, N600K & N336 applications for potential applicants and grant citizenship and offers a standardized automated process for adjudicating applications. CLAIMS4 system designed to support USCIS vision and mission to:

1. Provide a customer-focused benefits processing.
2. A credible source of useful information and to be a leading contributor to the security of the United States.
3. Providing accurate, useful and on-time information to our customers.
4. Granting immigration and citizenship benefits.
5. And ensuring the integrity of our immigration system.

CLAIMS 4 continue to be one of the primary multi-tier client/server workflow a management system that is designed to strengthen America's future secure America's promise as a nation of immigrants by providing support to the following strategic areas:

1. Fraud prevention: Automation of the manual applicant checking process with the release of JIT – Just in Time Interagency Border Inspection System (IBIS). This feature prevents fraud or potential security threats in a timely fashion.
2. FBI Name check analysis to prevent any person to get naturalized who in terror watch list. CLAIMS 4 sends the applicants information to FBI Name check analysis early in the process to prevent any potential person who is in the terror watch list in obtaining the citizenship
3. Just in time check capabilities to the adjudicator officer prior to the Naturalization process. This eliminates any fraud cases and obtaining the citizenship for the persons who are in the watch list in the last minute prior to the adjudication process
4. Coordinating with CBP (through PCQS) in providing the data to check applicants at border crossing.

If CLAIMS4 investment is not fully funded, there could be some serious ramification to our National Security, on time applicant checks which require few hours of turn around time, Inability to accommodate emergency congressional and organization mandates, delays in fraud prevention analysis and checks which could increase the backlog in processing applicants and granting benefits to the potential citizens, delay in emergency preparedness such as Haiti earthquake and 9/11 10 years anniversary and emergency request that have to do with name checks analysis early in the process to prevent any potential person who is in the terror watch list in obtaining the citizenship.

3. Provide a list of this investment's accomplishments in the prior year (PY), including projects or useful components/project segments completed, new functionality added, or operational efficiency achieved.

1. Redesigning & automating the naturalization certificate (NCAR) provided added value printing the digitalized picture & enhancing the security features on the certificate to prevent

any fraud. 2.Re-engineering of Customer Relationship Information System (CRIS) Interface provides real time application status updates to the applicants. This meets the USCIS mission & vision to customer-focused & to provide accurate information 3. The upgrading of CLAIMS 4 database from Oracle 9i to 11g R1 enhanced the security & integrity of the application & improved performance. 4. To better facilitate the application interview, finger print & oath ceremony process, CLAIMS 4 has Implemented 6 table releases, including regular refresh of zip codes. This meets the USCIS mission & vision to customer-focused & processing naturalization applications without any interruption. 5. A successful upgrade CLAIMS 4 National Server. This made the servers more secure to prevent any security threat.

4. Provide a list of planned accomplishments for current year (CY) and budget year (BY).

1. Provide the capability to ingest the data files for N-336, N-470, N-565, N-600 & N-600K transmitted from ESB reusing the same framework as developed for the N-400 Application for Naturalization. This will provide extended benefits for individual to document U.S. citizenship status, child/ren who regularly resides abroad to claim U.S. citizenship and ability to request a hearing decision on naturalization proceedings 2. Provides the ability to vet N400 applicants 48 hours before the oath ceremony. This feature prevents fraud or potential security threats in a timely fashion. CLAIMS 4 tentatively planned to automate the remaining manual processes 3. Rebranding Judicial OC Report (N647) – Eliminates N646 Report and provides additional benefits to the judicial oath ceremony by capturing accurate information. 4. Provides the ability to use both Microsoft Office 2003 and Microsoft Office 2010 to print all Adjudication notices and documents. 5. Provide the capability to manage and adjudicate the N-600, N-600K and N-336. (Scope change for N-336 inclusion). This integration will eliminate the old legacy system RNACS and provides better and secured data integration. By retiring RNACS, this will save money to the DHS organization. 6. Building application (limited) in .Net framework. This new modern language will make sure that the application is flexible enough to adjust and accommodate future DHS mandates with out issues and makes the application more secure. 7. New interfaces in CLAIMS 4 will be made Section 508 Compliance in order to make the application more user friendly and compatible for all the user community. 8. Implement five table releases to better facilitate the application interview, finger print & oath ceremony process; and to meet the USCIS mission & vision to customer-focused & processing naturalization applications without any interruption 9. Upgraded CLAIMS 4 database to 11g R2 to continue to enhanced the security & integrity of the application & improved performance.

5. Provide the date of the Charter establishing the required Integrated Program Team (IPT) for this investment. An IPT must always include, but is not limited to: a qualified fully-dedicated IT program manager, a contract specialist, an information technology specialist, a security specialist and a business process owner before OMB will approve this program investment budget. IT Program Manager, Business Process Owner and Contract Specialist must be Government Employees.

2008-11-23

Section C: Summary of Funding (Budget Authority for Capital Assets)

1.

Table I.C.1 Summary of Funding

	PY-1 & Prior	PY 2011	CY 2012	BY 2013
Planning Costs:	\$1.1	\$0.0	\$0.0	\$0.0
DME (Excluding Planning) Costs:	\$75.6	\$0.0	\$0.0	\$0.0
DME (Including Planning) Govt. FTEs:	\$0.0	\$0.0	\$0.0	\$0.0
Sub-Total DME (Including Govt. FTE):	\$76.7	0	0	0
O & M Costs:	\$120.7	\$2.1	\$2.1	\$2.2
O & M Govt. FTEs:	\$7.1	\$0.3	\$0.4	\$0.4
Sub-Total O & M Costs (Including Govt. FTE):	\$127.8	\$2.4	\$2.5	\$2.6
Total Cost (Including Govt. FTE):	\$204.5	\$2.4	\$2.5	\$2.6
Total Govt. FTE costs:	\$7.1	\$0.3	\$0.4	\$0.4
# of FTE rep by costs:	36	3	3	3
Total change from prior year final President's Budget (\$)		\$-2.0	\$-2.2	
Total change from prior year final President's Budget (%)		-46.00%	-47.00%	

2. If the funding levels have changed from the FY 2012 President's Budget request for PY or CY, briefly explain those changes:

The money might have been allocated to the TPO (Transformation) initiative. This is a DHS initiative to modernize the application.

Section D: Acquisition/Contract Strategy (All Capital Assets)

Table I.D.1 Contracts and Acquisition Strategy

Contract Type	EVM Required	Contracting Agency ID	Procurement Instrument Identifier (PIID)	Indefinite Delivery Vehicle (IDV) Reference ID	IDV Agency ID	Solicitation ID	Ultimate Contract Value (\$M)	Type	PBSA ?	Effective Date	Actual or Expected End Date
Awarded	7003	HSSCCG11J00 163	HSHQDC06D00 021	7003							

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

Exhibit 300B: Performance Measurement Report

Section A: General Information

Date of Last Change to Activities: 2012-07-31

Section B: Project Execution Data

Table II.B.1 Projects

Project ID	Project Name	Project Description	Project Start Date	Project Completion Date	Project Lifecycle Cost (\$M)
4	CLAIMS 4 Release 8.5	Develop functional capabilities to receive, process, adjudicate and print certificates for the N-336, N-470, N-565, N600 and N-600K applications.			
5	CLAIMS 4 Release 8.6	Enhance C4 with inclusion Child Citizenship Act Case Processing, Central Index System (CIS) Verification Interface, N-400 Residency Requirements, Scheduling Deficiency, Fee Waiver, Payment Status Info, Change of Relationship corrections, Remove Section of law auto population.			
6	CLAIMS 4 Release 8.7	Enhance C4 with inclusion of N-7470 revised form, I-290B, N-445 Printing, Security POE & M Part II.			
7	CLAIMS 4 Security	Enhance and secure CLAIMS 4 Application.			
8	Release 8.5.0.1	DC Move and C&A.			
9	Lean Agile Release 8.5.1.0	JIT IBIS, Enhancements and Early Filing.			

Table II.B.1 Projects

Project ID	Project Name	Project Description	Project Start Date	Project Completion Date	Project Lifecycle Cost (\$M)
10	Lean Agile Release 8.5.2.0	N-Forms Case Search, N-Forms Address Change, N400 Overseas Biometric Fees, Adjudicate N-Forms Cases without receiving evidence, Provide List for N-Forms, N-Forms Adjudication Modifications.			
11	Lean Agile Release 8.5.3.0	N600 Case Assignment.			
12	Release 8.5.2.1	POE Codes Update.			
13	Release 8.5.3.1	Dist. 23 zip code realignment.			

Activity Summary

Roll-up of Information Provided in Lowest Level Child Activities

Project ID	Name	Total Cost of Project Activities (\$M)	End Point Schedule Variance (in days)	End Point Schedule Variance (%)	Cost Variance (\$M)	Cost Variance (%)	Total Planned Cost (\$M)	Count of Activities
4	CLAIMS 4 Release 8.5							
5	CLAIMS 4 Release 8.6							
6	CLAIMS 4 Release 8.7							
7	CLAIMS 4 Security							
8	Release 8.5.0.1							
9	Lean Agile Release 8.5.1.0							
10	Lean Agile Release 8.5.2.0							
11	Lean Agile Release 8.5.3.0							
12	Release 8.5.2.1							
13	Release 8.5.3.1							

Key Deliverables								
Project Name	Activity Name	Description	Planned Completion Date	Projected Completion Date	Actual Completion Date	Duration (in days)	Schedule Variance (in days)	Schedule Variance (%)
4	CLAIMS4 Release 8.5	NForms Consolidation N336, N600 & N600K	2011-10-23	2011-10-30	2011-10-30	367	-7	-1.91%
7	CLAIMS 4 Security	Enhance and secure CLAIMS 4 Application	2011-12-30	2011-12-30	2012-03-16	182	-77	-42.31%
5	CLAIMS 4 Release 8.6 - Requirements Phase	Enhance C4 with inclusion of N-565 form, Overseas Bio metrics fee, Security POE & M and Mil. Case Mgmt Module	2012-01-02	2012-03-05	2012-03-15	27	-73	-270.37%
5	CLAIMS 4 Release 8.6 - Design Phase	Enhance C4 with inclusion of N-565 form, Overseas Bio metrics fee, Security POE & M and Mil. Case Mgmt Module	2012-02-13	2012-02-13	2012-03-16	41	-32	-78.05%
12	Release 8.5.2.1	POE Code updates.	2012-02-25	2012-02-25	2012-02-25	33	0	0.00%
13	Release 8.5.3.1	Dist. 23 Realignment.	2012-03-11	2012-03-11	2012-03-11	39	0	0.00%
5	CLAIMS 4 Release 8.6 - Development Phase	Enhance C4 with inclusion of N-565 form, Overseas Bio metrics fee, Security POE & M and Mil. Case Mgmt Module	2012-04-23	2012-05-07	2012-04-25	69	-2	-2.90%
5	CLAIMS 4 Release 8.6 - Unit/FQT Test Phase	Enhance C4 with inclusion of N-565 form, Overseas Bio metrics fee, Security POE & M and Mil. Case Mgmt Module	2012-05-31	2012-06-06	2012-06-06	37	-6	-16.22%
5	CLAIMS 4 Release 8.6 - SAT Phase	Enhance C4 with inclusion of N-565 form, Overseas Bio metrics fee, Security POE & M and Mil. Case Mgmt Module	2012-07-18	2012-08-14	2012-07-20	47	-2	-4.26%

Section C: Operational Data

Table II.C.1 Performance Metrics

Metric Description	Unit of Measure	FEA Performance Measurement Category Mapping	Measurement Condition	Baseline	Target for PY	Actual for PY	Target for CY	Reporting Frequency
Number of Nforms added to C4 via the Enterprise Service Bus (ESB) from the USCIS Lock Box. We measuring how many new NForms we can consolidate as part of Initiative. In FY 2011, we have planned on consolidating 3 Nforms into C4. In FY 12 we have planned three NForms into CLAIMS4. The base line is the agreed number of NForms with the business owner. The target is what we plan on accomplishing by end of the PY/FY & most recent is as of today date how many we have completed.	Number	Technology - Effectiveness	Over target	3.000000	3.000000	0.000000	3.000000	Semi-Annual
Number of office realignments/requests from bussiness customers/field offices. Here we are measuring how many new offices are set or realigned. Based on previous year's data, we create a average baseline. The target is what we plan on accomplishing by end of the PY/FY & most	Number	Customer Results - Customer Benefit	Over target	6.000000	4.000000	4.000000	6.000000	Semi-Annual

Table II.C.1 Performance Metrics

Metric Description	Unit of Measure	FEA Performance Measurement Category Mapping	Measurement Condition	Baseline	Target for PY	Actual for PY	Target for CY	Reporting Frequency
recent is as of today date how many we have completed.								
Accommodate new congressional legislation by effective date of legislation. Here we are measuring how many new congressional legislation come up. Based on previous year's data, we create an average baseline. The target is what we plan on accomplishing by end of the PY/FY & most recent is as of today date how many we have completed.	Number	Mission and Business Results - Services for Citizens	Under target	3.000000	2.000000	1.000000	2.000000	Monthly
% of C4 ticket closed within 24 hours. We are measuring how many helpdesk tickets that we close with in 24 hours. . Based on previous year's data, we create an average baseline of help desk tickets. The target is what we plan on accomplishing by end of the PY/FY & most recent is as of today date how many we have completed.	Percent	Customer Results - Customer Benefit	Over target	1400.000000	900.000000	980.000000	900.000000	Monthly
Number of AdHoc - external request satisfied. We are measuring how many adhoc request that we	Number	Customer Results - Customer Benefit	Over target	60.000000	60.000000	39.000000	60.000000	Monthly

Table II.C.1 Performance Metrics

Metric Description	Unit of Measure	FEA Performance Measurement Category Mapping	Measurement Condition	Baseline	Target for PY	Actual for PY	Target for CY	Reporting Frequency
receive from the stakeholders and congressional requests. Based on previous year's data, we create an average baseline of help desk tickets. The target is what we plan on accomplishing by end of the PY/FY & most recent is as of today date how many we have completed.								
Addressing CLAIMS 4 POA&M Mitigation Plan. In order to address security, every year we plan on updating CLAIMS 4 with some specific plan of action and milestones to address any risks. Based on previous year's data, we create an average baseline of help desk tickets. The target is what we plan on accomplishing by end of the PY/FY & most recent is as of today date how many we have completed.	Number	Process and Activities - Security and Privacy	Over target	24.000000	16.000000	9.000000	16.000000	Semi-Annual
Reduce the frequency and length of unscheduled outages. We measure how many unscheduled outages we are having and how to	Number	Technology - Reliability and Availability	Over target	2.000000	2.000000	1.000000	1.000000	Monthly

Table II.C.1 Performance Metrics								
Metric Description	Unit of Measure	FEA Performance Measurement Category Mapping	Measurement Condition	Baseline	Target for PY	Actual for PY	Target for CY	Reporting Frequency

improve them based on the actual. Based on previous year's data, we create an average baseline of help desk tickets. The target is what we plan on accomplishing by end of the PY/FY & most recent is as of today date how many we have completed